

## NSF SBIR/STTR Phase I Proposal Check List

- **Proposals are due before 5:00pm Submitter's Time on the deadline date. Proposals received after 5:00pm will be "Returned Without Review".**
- **Project Summary** is limited to one page and includes:
  - 1) 200 words or less paragraph on intellectual merits
  - 2) 200 words or less paragraph on broader impacts
  - 3) Keywords
  - 4) Chosen topic and subtopic
- **Project Description** contains six sections as described in the solicitation
  - 1) Project Description is no more than 15 pages total
  - 2) Project Description includes 3-5 pages on "commercial potential"
  - 3) If the "Proposal Contains Proprietary Information" box on the Cover Sheet is checked, the Project Description clearly indicates which sections are proprietary. It is not permitted to mark the entire proposal proprietary.
- **References Cited** module contains a listing of current papers, patents, etc that demonstrate thorough research on the state of the technology. If no references cited are included, a statement to that effect must be entered into this module.
- **Current and Pending Support** module is completed for all senior personnel (including, at minimum, this proposal as a "pending" item)
- **Biographical Sketches** are included for all senior personnel and consultants. Bio sketches are limited to two pages per person.
- **Facilities, Equipment and Other Resources** document must be submitted for all proposals.
- **Supplementary Documents:**
  - 1) If the company has received prior Phase II awards from any agency, the Company Commercialization History *using the NSF template* format is required.
  - 2) Maximum of three letters of support (strongly encouraged, but not required; letters from consultants and/or sub-awardees should be uploaded as part of the Budget Justification, NOT the supplementary documents)
  - 3) Data Management Plan must be included for all NSF proposals. SBIR/STTR proposals may simply include the statement, *"All data generated in this SBIR (or STTR) Phase I project is considered proprietary."*
  - 4) Cooperative Research Agreement (or letter indicating CRA will be signed upon award) is required for all STTR proposals.
  - 5) Letter(s) regarding human subjects Institutional Review Board or IACUC approval for animal use should be included when applicable.
  - 6) Post-Doc Mentoring Plan is only required if an academic institution (subawardee) budgets funds on line "B.1 Post Doctoral Scholars" on their budget. SBIR/STTR companies should not budget any funds on this line.

**Budget Requirements:**

- Total project budget (on both Cover Sheet and Budget module) does not exceed \$150,000
- Principal investigator must commit at least one calendar month to the project for SBIR Phase I, two months for STTR Phase I.
- Signed letters from all consultants and/or sub-awardees should be included in the budget justification. Consultant letters must explicitly state their level of commitment to the project (in days), daily rate, and role in the project.
- Total amount of Fringe plus Indirect Costs (line C + line I) cannot exceed 150% of total Direct Labor costs (line A + line B).
- Requested Fee (line K) cannot exceed 7% of total Direct plus Indirect Costs (line J).
- Budget Justification includes pricing documentation or further breakdown of any Materials (line G.1) or Other (line G.6) item.
- No money in the Equipment (line D) or Participant Support Costs (line F) categories.
- Not more than 1/3 of the total budgeted funds can go to subaward (line G.5) and consultant (line G.3) costs.
- Do not allocate funds on the Post-Doctoral Scholars line (line B.1) of the SBIR/STTR company budget; this should only be used on budgets to universities. A Post-Doc Mentoring Plan is required in the Supplementary Documents if funds are budgeted on B.1.